



#4 1-29-02
NIT-278

RECEIVED
SEP 07 2001
Technology Center 2100

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

T. TANAKA et al

Serial No. 09/873,259

Group Art Unit: 2162

Filed: June 5, 2001

For: METHOD AND APPARATUS FOR PROVIDING
BROKER SERVICE TO AUCTIONS

INFORMATION DISCLOSURE STATEMENT (IDS)
UNDER § 1.97 AND § 1.98

Commissioner for Patents
Washington, D.C. 20231

Sir:

1. This IDS should be considered:

(a) when filed within three months of the filing date of the present application, or within three months of the filing date of the National Stage as set forth in § 1.491 in an international application, or before the mailing date of a first Office Action on the merits, whichever occurs last;

(b) when filed before the mailing date of either a Final Rejection under § 1.113 or a Notice of Allowance under § 1.311, whichever occurs first and when 1(a) does not apply. For this purpose, there is included herein either a certification in section 4 below (included when indicated by a marked box), or a fee of \$180.00 (a check in the amount of \$180.00 is enclosed, or if not see section 5 below);

(c) when filed prior to the payment of the Issue Fee, when 1(a)-(b) do not apply, and when a certification is included in section 4 below (included when indicated by a marked box); then the Applicant(s) hereby petition(s) and request(s) consideration of this IDS, and provided herewith is a fee of \$180.00 (a check in the amount of \$180.00 to cover the petition fee, or if not see section 5 below).

2. When 1(a)-(c) do not apply, then it is requested that this IDS be placed in the file.

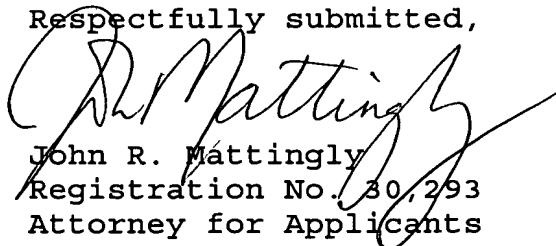
3. Listing of the information submitted is on the attached Form PTO-1449, which forms a part of this IDS. A copy of each listed document is enclosed when needed (needed for U.S. and foreign patents, publication or portion thereof listed; no copy of a U.S. patent application is needed; a copy of a document is not needed when previously submitted or previously cited by the PTO in a parent application of the present application as set forth under 35 U.S.C. § 120).

4. If a fee or additional fee is required, the Commissioner is hereby authorized to charge any fee or additional fee that may be required and credit any excess to Deposit Account No. 50-1417. A duplicate of this sheet is attached.

5. No explanation of relevancy is being provided for the following document(s) because each is either in the English language, discussed in the present Specification, or its relevance is as stated in a communication from a foreign patent office in a counterpart foreign application, copy enclosed.

6. If the PTO determines that part(s) of the required content is inadvertently omitted, then it is requested that the Applicant(s) be given additional time and specific identification of such omission(s) to enable full compliance.

Respectfully submitted,



John R. Mattingly
Registration No. 30,293
Attorney for Applicants

MATTINGLY, STANGER & MALUR
1800 Diagonal Road, Suite 370
Alexandria, Virginia 22301
(703) 684-1120
Date: September 5, 2001

FORM PTO-1449
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

NIT-278

SERIAL NO.

09/873,259

LIST OF DOCUMENTS CITED BY APPLICANT

(Use several sheets if necessary)

APPLICANT

T. TANAKA et al

FILING DATE

6/5/01

GROUP

2162

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
AA						
AB						
AC						
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						

FOREIGN PATENT DOCUMENTS

		DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
AL	8-106501	04/23/96	Japan				<input type="checkbox"/>	<input type="checkbox"/>
AM	11-265344	09/28/99	Japan				<input type="checkbox"/>	<input type="checkbox"/>
AN							<input type="checkbox"/>	<input type="checkbox"/>
AO							<input type="checkbox"/>	<input type="checkbox"/>
AP							<input type="checkbox"/>	<input type="checkbox"/>

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

AR		
AS		
AT		

EXAMINER

DATE CONSIDERED

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.